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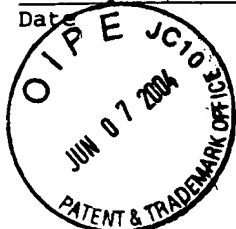
**CERTIFICATE OF MAILING**

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January 21, 2004

Date

Signature: Carrie Reddick



**PATENT**

**Attorney Docket No. ULT-001-1**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application

Inventor(s): Donald C. Mann et al.

Application No.: 09/693,271

Filed: 10/20/2000

Title DATA STORAGE DEVICE, APPARATUS  
AND METHOD FOR USING SAME

**PATENT APPLICATION**

Art Unit: Unknown

Examiner: Unknown

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Mail Stop Petition  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed document is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with MPEP § 609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56.

- ☒ This statement qualifies under 37 C.F.R. § 1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
  - ☐ (2) It is being filed within 3 months of entry of a national stage  
-- OR --
  - ☒ (3) It is being filed before the mail date of the first Office Action on the merits.  
-- OR --
  - ☐ (4) It is being filed before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114
- ☐ 37 C.F.R. § 1.97(c). If this statement is being filed after the period specified in § 1.97(b), but before the mailing date of the earlier of a final office action under § 1.113, a notice of allowance under § 1.311, or an action that otherwise closes prosecution in the application, then:
- ☐ a certification as specified in § 1.97(e) is provided below; or
  - ☐ a fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. § 1.97(d). If this statement is being filed after the period specified in § 1.97(c), but on or before payment of the issue fee, then:
- A. a certification as specified in § 1.97(e) is completed below; and
  - B. a fee of \$180.00 as set forth in § 1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ *Fee Authorization.* No fee is believed to be due, however, if the Commissioner finds that a fee is owed, he is hereby authorized to charge Deposit Account No. 50-0574 (Docket No. ULT-001-1).

Respectfully submitted,

BEVER, HOFFMAN & HARMS, LLP

By: 

James E. Parsons, Reg. No. 34,691

Dated: January 21, 2004

Telephone: (408) 451-5906  
Customer No. 22888

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Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

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Application Number	09/693,271
Filing Date	10/20/2000
First Named Inventor:	Donald C. Mann
Examiner: Unknown	GROUP: Unknown

Sheet	1	of	14	Attorney Docket Number	ULT-001-1
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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	H001	US-1,756,547	04/1930	Hansen	
	H002	US-3,677,843	7/17/1972	Reiss	
	H003	US-3,838,252	9/24/1974	Hynes et al.	
	H004	US-3,864,755	2/1975	Hargis	
	H005	US-4,058,839	11/1977	Darjany, John C.	
	H006	US-4,076,125	2/28/1978	Ohsaki et al.	
	H007	US-4,100,689	07/1978	Broune	
	H008	US-4,104,682	8/1/1978	Lehner et al.	

**FOREIGN PATENT DOCUMENTS**

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	H009	EP 0194675	9/1986			
	H010	WO 9210485	12/1992			
	H011	JP 10041118	4/1998			

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

(One Page) Advertising Brochure, Iomega Klik! PC Card Drive (40 MB Disk) Iomega Corporation, 1999

Gooch et al. "A High Resolution Flying Magnetic Disk Recording System With Zero Reproduce Spacing Loss"  
Pages 4545-4554, IEEE Transactions on Magnetis, Volume 27, No. 6, November 1991

One (1) Page Advertising Brochure, SysTECH, Wallet Size CDROM, Copyright 1999

Three (3) Pages / Gold CD Mini ROM (Picture), Back/Front Packaging for CD Mini ROM AOL, America On Line

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Application Number 09/693,271

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First Named Inventor: Donald C. Mann

Examiner: Unknown GROUP: Unknown

Sheet 2 of 14 Attorney Docket Number ULT-001-1

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	H012	US-4,141,400	2/27/1979	Mangan	
	H013	US-4,197,988	4/15/1980	Moss et al.	
	H014	US-4,209,811	6/1/1980	Blazevic	
	H015	US-4,277,809	7/7/1981	Fisher et al.	
	H016	US-4,302,523	11/1/1981	Audran et al.	
	H017	US-4,318,136	3/2/1982	Jeffers	
	H018	US-4,403,138	9/1/1983	Battarel et al.	
	H019	US-4,450,955	5/29/1984	Featherston	
	H020	US-4,503,125	3/1/1985	Nelson et al.	
	H021	US-4,518,627	5/1/1985	Foley et al.	
	H022	US-4,530,016	7/16/1985	Sawazaki	
	H023	US-4,535,369	8/13/1985	Sawazaki	
	H024	US-4,581,523	4/1/1986	Okuno	
	H025	US-4,585,929	4/29/1986	Brown et al.	

**FOREIGN PATENT DOCUMENTS**

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	H026	FR 2505523	12/11/1982	Widmer MJF		

**OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)**

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Sheet

3

of

14

Attorney Docket Number

ULT-001-1

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	H027	US-4,592,042	5/1/1986	Lemelson et al.	
	H028	US-4,598,196	7/1/1986	Pierce et al.	
	H029	US-4,609,812	9/2/1986	Drexler	
	H030	US-4,612,436	9/16/1986	Okada	
	H031	US-4,620,727	11/4/1986	Stockburger et al.	
	H032	US-4,659,915	4/1/1987	Flies	
	H033	US-4,672,182	6/1/1987	Hirokawa	
	H034	US-4,683,371	7/1/1987	Drexler	
	H035	US-4,687,712	8/18/1987	Sugita et al.	
	H036	US-4,701,601	10/20/1987	Francini et al.	
	H037	US-4,707,593	11/1/1987	Murata et al.	
	H038	US-4,718,697	01/1988	Berardus van Amelsfort	
	H039	US-4,731,645	3/1/1988	Parmentier et al.	
	H040	US-4,754,128	6/1/1988	Takeda et al.	

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	H041	JP 10144391 A	5/1998	Kanda		

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			Filing Date	10/20/2000	
			First Named Inventor:	Donald C. Mann	
			Examiner: Unknown	GROUP: Unknown	
Sheet	4	of	14	Attorney Docket Number	ULT-001-1

## U.S. PATENT DOCUMENTS

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	H042	US-4,756,967	7/1/1988	Hashimoto et al.	
	H043	US-4,774,618	9/27/1988	Raviv	
	H044	US-4,777,540	10/11/1988	McCoy	
	H045	US-4,780,604	10/1988	Hasegawa et al.	
	H046	US-4,786,564	11/22/1988	Chen et al.	
	H047	US-4,791,283	12/13/1988	Burkhardt	
	H048	US-4,812,633	03/1989	Vogelgesang et al.	
	H049	US-4,826,772	05/1989	Meathrel	
	H050	US-4,833,310	05/23/1989	Shimamura et al.	
	H051	US-4,851,610	07/25/1989	LeBlanc et al.	
	H052	US-4,868,373	09/1989	Opheij et al.	
	H053	US-4,877,488	10/1989	Cody et al.	
	H054	US-4,889,755	12/1989	Charbonneau	
	H055	US-4,897,533	01/1990	Lyszcza	

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	H056	US-4,931,623	6/5/1990	Nakamura et al.	
	H057	US-4,937,438	6/26/1990	Warwick et al.	
	H058	US-4,978,401	12/18/1990	Bonomi	
	H059	US-4,998,009	03/1991	Iijima et al.	
	H060	US-5,036,430	07/1991	Hills	
	H061	US-5,049,728	09/1991	Rovin	
	H062	US-5,099,111	03/1992	Takakura et al.	
	H063	US-5,107,099	04/1992	Smith	
	H064	US-5,172,282	12/1992	Ghose	
	H065	US-5,206,494	04/1993	Metzger	
	H066	US-5,227,212	07/1993	Ahlert et al.	
	H067	US-5,236,791	08/1993	Yahisa et al.	
	H068	US-5,309,388	5/3/1994	Maruyama et al.	
	H069	US-5,311,003	5/10/1994	Saroya	

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**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	H070	US-5,321,243	6/14/1994	Groves et al.	
	H071	US-5,336,871	8/9/1994	Colgate Jr.	
	H072	US-5,362,952	11/8/1994	Nair et al.	
	H073	US-5,396,369	3/7/1995	Deland Jr. et al.	
	H074	US-5,396,545	3/7/1995	Nair et al.	
	H075	US-5,397,886	3/14/1995	Mos et al.	
	H076	US-5,408,384	04/1995	Gannyo et al.	
	H077	US-5,410,136	4/25/1995	McIntire et al.	
	H078	US-5,421,618	6/6/1995	Okazaki et al.	
	H079	US-5,426,286	6/20/1995	Nair et al.	
	H080	US-5,431,746	7/11/1995	Manning et al.	
	H081	US-5,452,143	9/19/1995	Kamagami	
	H082	US-5,466,918	11/14/1995	Ray et al.	
	H083	US-5,480,685	1/2/1996	Suzuki et al.	

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Substitute for form 1449A/PTO

JUN 07 2004

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Application Number 09/693,271

Filing Date 10/20/2000

First Named Inventor: Donald C. Mann

Examiner: Unknown GROUP: Unknown

Sheet 7 of 14

Attorney Docket Number ULT-001-1

**U.S. PATENT DOCUMENTS**

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	H084	US-5,492,745	2/1996	Yokoyama	
	H085	US-5,509,083	4/16/1996	Abtahi et al.	
	H086	US-5,521,774	5/28/1996	Parks et al.	
	H087	US-5,530,232	6/25/1996	Taylor	
	H088	US-5,535,078	7/9/1996	Warwick	
	H089	US-5,557,089	9/17/1996	Hall et al.	
	H090	US-5,559,885	9/24/1996	Drexler et al.	
	H091	US-5,588,763	12/31/1996	Nubson et al.	
	H092	US-5,598,474	1/28/1997	Johnson	
	H093	US-5,609,253	3/11/1997	Goade, Sr.	
	H094	US-5,612,526	3/18/1997	Oguchi et al.	
	H095	US-5,626,970	5/1997	Hedgcoth	
	H096	US-5,637,174	6/10/1997	Field et al.	
	H097	US-5,679,942	10/21/1997	Toyama	

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Substitute for form 1449A/PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (Use as many sheets as necessary)		Application Number	09/693,271		
		Filing Date	10/20/2000		
		First Named Inventor:	Donald C. Mann		
		Examiner: Unknown	GROUP: Unknown		
Sheet	8	of	14	Attorney Docket Number	ULT-001-1

## U.S. PATENT DOCUMENTS

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	H098	US-5,679,945	10/21/1997	Renner et al.	
	H099	US-5,696,369	12/1997	Watanabe	
	H100	US-5,698,839	12/17/1997	Jagielinski	
	H101	US-5,713,406	2/3/1998	Drury	
	H102	US-5,714,747	2/3/1998	West et al.	
	H103	US-5,720,500	2/24/1998	Okazaki et al.	
	H104	US-5,723,033	3/3/1998	Weiss	
	H105	US-5,734,154	3/31/1998	Jachimowicz et al.	
	H106	US-5,738,945	4/14/1998	Lal et al.	
	H107	US-5,748,737	5/5/1998	Daggar	
	H108	US-5,756,220	5/1998	Hoshino et al.	
	H109	US-5,763,862	6/9/1998	Jachimowicz et al.	
	H110	US-5,770,942	6/23/1998	Taguchi et al.	
	H111	US-5,777,306	7/7/1998	Masuda	

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			Filing Date	10/20/2000	
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			Examiner: Unknown	GROUP: Unknown	
Sheet	9	of	14	Attorney Docket Number	ULT-001-1

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	H112	US-5,789,733	8/4/1998	Jachimowicz et al.	
	H113	US-5,801,368	9/1998	Hayashi et al.	
	H114	US-5,825,393	10/20/1998	Koczmar et al.	
	H115	US-5,828,053	10/27/1998	Kinugasa	
	H116	US-5,834,756	11/10/1998	Gutman et al.	
	H117	US-5,843,565	12/1/1998	Davies et al.	
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	H119	US-5,844,230	12/1/1998	Lalonde	
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	H126	US-5,866,891	2/2/1999	Fujimoto et al.	
	H127	US-5,869,823	2/9/1999	Bublitz et al.	
	H128	US-5,880,445	3/9/1999	Mori et al.	
	H129	US-5,883,377	3/16/1999	Chapin, Jr.	
	H130	US-5,884,271	3/1999	Pitroda	
	H131	US-5,886,333	3/1999	Miyake	
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Sheet	11	of	14	Attorney Docket Number	ULT-001-1
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	H141	US-5,979,774	11/1999	Urushibata	
	H142	US-5,997,042	12/1999	Blank	
	H143	US-6,079,621	6/2000	Vardanyan et al.	
	H144	US-6,080,476	6/2000	Kanbe et al.	
	H145	US-6,116,655	9/2000	Thouin et al.	
	H146	US-6,131,816	10/2000	Smith, Sr.	
	H147	US-6,186,398	2/2001	Kato et al.	
	H148	US-6,196,047	3/2001	Carnegie et al.	
	H149	US-6,221,508	4/2001	Kanbe et al.	
	H150	US-6,238,809	5/2001	Wu et al.	
	H151	US-6,254,713	7/2001	Riehle	
	H152	US-6,268,919	7/2001	Meeks et al.	
	H153	US-6,301,068	10/2001	Ionescu	

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				Filing Date	10/20/2000
				First Named Inventor:	Donald C. Mann
				Examiner: Unknown	GROUP: Unknown
Sheet	12	of	14	Attorney Docket Number	ULT-001-1

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cited No. <sup>1</sup>	Document Number Number - Kind Code <sup>2/3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	H154	US-6,311,893	11/2001	Liu et al.	
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	H158	US-D293,694	1/1988	Alden et al.	
	H159	US-D305,887	2/1990	Nishimura	
	H160	US-D328,457	8/1992	Matsuzaka	
	H161	US-D408,377	4/20/1999	Ferchau et al.	
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	H163	US-D425,876	5/2000	Maiers et al.	
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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document Cntry Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Figures Appear	T <sup>6</sup>

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Bhushan, Bharat, *Tribology and Mechanics of Magnetic Storage Devices*, New York: Springer-Verlag, pp. 599, 629-638

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	H168	US-5,041,922	08/20/1991	Wood et al.	
	H169	US-5,055,155	10/08/1991	Crotty et al.	
	H170	US-5,101,097	03/31/1992	Conant	
	H171	US-5,147,732	09/15/1992	Shiroishi et al.	
	H172	US-5,180,640	01/19/1993	Yamashita et al.	
	H173	US-5,191,198	03/02/1993	Do	
	H174	US-5,204,513	04/20/1993	Steele	
	H175	US-5,206,489	04/27/1993	Warwick	
	H176	US-5,217,056	06/08/1993	Ritter	
	H177	US-5,221,838	06/22/1993	Gutman et al.	
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	H179	US-5,270,523 ✓	12/14/1993	Chang et al.	

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Sheet	14	of	14	Attorney Docket Number	ULT-001-1
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	H181	US-5,288,942	02/22/1994	Godfrey	
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	H183	US-5,621,583	04/15/1997	Parks et al.	
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